

**IN THE UNITED STATES PATENT & TRADEMARK OFFICE**

In re application of	:	April 14, 2004
Timothy M. Francis, et al	:	IBM Corporation
Filing Date: Herewith	:	Dept.T81/Bldg. 503
Serial No. Not Assigned Yet	:	P.O. Box 12195
For: Using Behavioral Annotations in Source Code	:	Research Triangle Park,
to Build Middleware Applications	:	North Carolina 27709

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
Alexandria, VA 22313-1450

Sir:

Applicants submit herewith patents, publications or other information which they became aware of and which there may be a duty to disclose in accordance with 37 CF 1.56 and 37 C.F.R. 1.97(e)(1).

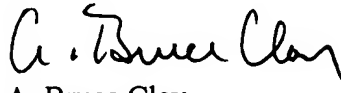
While this Information Disclosure Statement may be "material" pursuant to 37 CFR 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to herein is "prior art" for this invention unless specifically designated as such.

In accordance with 37 CFR 1.97(g) the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR 1.56(a) exists.

The attached form, PTO-1449, provides a listing of patents, publications, or other information as required by 37 CFR 1.98(a)(1).

A copy of each of the items on PTO-1449 is supplied herewith.

Respectfully submitted,

A handwritten signature in cursive script that reads "A. Bruce Clay".

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Docket No. RSW920040043US1

In Place of FORM PTO-1449 (Modified)

**LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENT**

Serial No. \_\_\_\_\_

Applicant: Francis, et al.

Filing Date: \_\_\_\_\_

Group: \_\_\_\_\_

Atty. Docket No. RSW920040043US1

Reference Designation

U. S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
AA	6,691,301	02/2004	Bowen	717	114	
AB	6,353,896	03/2002	Holzmann et al.	714	38	

FOREIGN PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Country	Class	Subclass	Translation Yes No
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OTHER ART (Including Author, Title,

Date, Pertinent Pages, Etc.)

Examiner

Initial

AA Keeney, J., "Chisel: a policy driven, context-aware, dynamic adaptation framework," Proceedings POLICY 2003. IEEE 4<sup>th</sup> International Workshop on Policies for Distributed Systems and Network, pp. 3-14, 2003.

Examiner:

Date Considered:

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.